

# Library Services and Technology Act

## FIVE-YEAR PLAN

Kentucky

2003-2007



Kentucky Department for Libraries and Archives  
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## **Overview**

The ultimate goal of the Kentucky Department for Libraries and Archives (KDLA) program is to provide adequate and equitable library and information services through strengthening the resources and services of libraries across the state for all Kentuckians regardless of their scholastic, economic, cultural, geographical or physical barriers and/or location.

## **Needs Assessment**

In 2000, through the public awareness program, five community-action public awareness forums were conducted throughout the state for community "movers and shakers". Each forum numbered between 20 and 30 individuals in attendance. Although the forums were essentially focused on public libraries, the information gathered addressed the needs of the statewide library community. One particular question that was asked during the forums, "If the public library was meeting all of your community needs, what would it look like in 5 years -- considering programs, services, facilities?" shows the types of library needs and desires deemed necessary to the citizens of Kentucky. The documents produced as a result of the forums have been a major resource in preparing the five-year plan. Additional information on these forums as well as a summary of all needs assessments associated with this plan is included in Appendix A.

After review of the information gathered, KDLA identified four categories of needs that are consistent with the purposes of the Library Services and Technology Act.

1. **Access / Technology:** The people of Kentucky have a need for free and full access to information and ideas to increase their knowledge and to help them overcome economic, educational, geographic, or physical barriers. Due to the proliferation of technology, people not only need but expect to receive reliable information in an expedient manner from many different sources. The aging of the population has also increased the need for the availability of information in a variety of formats.
2. **Awareness / Outreach:** The people of the state need to become more aware of the library and information services available to every citizen to assist them in building a brighter future through the resources and opportunities provided by the library. Libraries need to assume a leadership role in their communities demonstrating democracy, neighborliness, community pride and providing access to technology and life-long learning for all citizens.
3. **Children and Youth Services:** Libraries need to play a significant part in the development of Kentucky's children and young adults to stimulate a love of reading and to support them in becoming lifelong-learners and productive members of society. Kentucky's children need well-trained librarians who are well educated, effective and confident in their work to provide services and programs targeted to meet the developmental needs of children.
4. **Programming / Training:** Library customer satisfaction can be improved throughout the state by providing enhanced service delivery and creative programming to meet the diverse needs of all citizens regardless of economic, scholastic, geographical or physical barriers.

Goals and objectives that include what will be done, for whom, how it will be done and the benefit or outcomes to be achieved have been developed to address each of the needs categories. Continuing education and training was identified as a component for all categories. The State's plan for addressing these needs with Federal funds made available under the Library Services and Technology Act, are included in this document. This plan corresponds closely with the KDLA Strategic Plan.

## **Kentucky Department for Libraries and Archives**

### **Mission Statement**

The Kentucky Department for Libraries and Archives is committed to support and promote equitable access to quality library services and information resources to meet the library and information needs for all Kentuckians and to ensure that adequate documentation of government programs is created, maintained, and available for public use by providing training, consultation and statewide programs.

### **Vision Statement**

As a dynamic, evolving organization, and as a leader in providing quality management and delivery of information resources, the Kentucky Department for Libraries and Archives envisions a future in which:

- ♦ Libraries are valued as essential partners in the educational and economic development of their communities.
- ♦ The rights of citizens are protected in a democracy by essential documentation of government agencies, programs, and policies.
- ♦ People use information resources and technology to improve the quality of their lives.

### **NEED # 1 - ACCESS / TECHNOLOGY**

#### **Goal # 1**

**Strengthen the ability of all citizens of Kentucky to have free and equal use of a full range of library and information services by providing and improving access to all types of resources to meet the needs of all types of users.**

**Objective 1A:** Improve the ability of libraries to provide access to resources and information by creating and maintaining bibliographic union databases and access tools.

#### **Key Output Targets:**

- ✓ At least 1,000 catalog records of archival material and manuscript collections around the state will be added to the KDLA Endeavor/Voyager Catalog during the five year period, making it more comprehensive and useful to researchers.
- ✓ Staff will maintain accurate and complete local data records in the Kentucky OCLC database by updating 10,000 records per year.

#### **Key Outcome Targets:**

- ✓ Researchers interested in using primary resources in Kentucky will be provided with a convenient and easy way to use the union catalog of collections that will greatly enhance their research capabilities and will show at least a 60% satisfaction rate.
- ✓ The use of the Kentucky OCLC database will increase by 8% indicating that the information is being used in resource sharing activities to successfully meet the information needs of library clients.

#### **Projects:**

1. Support the creation and maintenance of a union listing of serials holding information of all types of libraries in the State. *Time Frame FY2003-2007*
2. Create and maintain bibliographic records of archival materials as part of the KDLA Endeavor/Voyager catalog. *Time Frame FY2003-2007*

**Evaluation:**

A survey of catalog users will be conducted in order to assess the need for a comprehensive catalog of archival and manuscript material in Kentucky, customers' use of the catalog, and what customers need from the catalog. Midyear and annual reports will assess progress of the projects.

**Objective 1B:** Provide and support resource-sharing activities by establishing and supporting mechanisms for access to the provisions of information and materials.

**Key Output Targets:**

- ✓ A minimum of 8 competitive, matching collection digitization subgrants will be awarded to libraries, historical societies or museums to allow immediate access to historical materials to assist in research and to answer reference and research inquiries.
- ✓ Finding aids for 56,000 rolls of microfilm will be converted from paper to electronic format.
- ✓ At least 2 competitive subgrants per year will be awarded to automate library collections.
- ✓ 200,000 non-OCLC cataloging institutions' records will be added to the Kentucky OCLC database.

**Key Outcome Targets:**

- ✓ 95% of KDLA's microfilm available for archival research use will have an electronic record allowing customers to access finding aids for microfilm through links in the KDLA catalog, giving customers access to specific materials.
- ✓ 75% of customers will express satisfaction with the availability of the electronic records created by the projects under this goal.
- ✓ 50% more state agency webmasters will be aware of and utilizing the Find-It! Kentucky metadata generator making their information more accessible to the citizens of the state.

**Projects:**

1. Provide subgrants to libraries to digitize a part of their collections making them accessible via the Internet. *Time Frame FY2003-2007*
2. Convert archival records and finding aids to electronic format. *Time Frame FY2003-2005*
3. Assist libraries in providing access to their collections by providing competitive subgrants to convert their collections from manual to automated systems. *Time Frame FY2003-2007*
4. Provide a statewide program to enhance collaborative efforts that serve the informational needs of library staff and citizens of the State by providing financial support of activities, coordination, administration and/or delivery of services. *Time Frame FY2003-2007*

**Evaluation:**

Research Room statistics and Web search statistics will be used to document questions received and the use of the catalog. User surveys will be attached to the image files. Library directors will randomly survey patrons regarding their success in finding information. Results will be reviewed and reported through mid-year and annual status reports.

**Objective 1C:** Assist libraries to economically and effectively meet the library and information needs of their customers by centralizing programs and functions at the state level and by providing a comprehensive collection of materials and adequate access tools through statewide programs.

**Key Output Targets:**

- ✓ By fall of 2004, 95% of the local history and genealogical materials sent to the centralized technical support unit will have been cataloged for local libraries and their holdings added to the OCLC database.
- ✓ By the end of September, 2003 450 videocassettes and 600 audio books will be added to the collection. Similar increases will be shown in the following years.
- ✓ By the end of September, 2003 a total of 6700 audiovisual materials will be circulated.
- ✓ At least 3 libraries per year will be guided through the automation process.
- ✓ At least 4 innovative library technology subgrants will be awarded to utilize new technology or to use existing technology in a new fashion.
- ✓ At least 225 software license updates will be purchased to provide access to the most current resources available.
- ✓ 16,000 large print books per year will be circulating throughout the public libraries and bookmobiles.
- ✓ 5,000 requests will be received from State Library customers yearly.
- ✓ 100% of attempted phone access to resources at the SLAA will be fulfilled.

**Key Outcome Targets:**

- ✓ An increase of 5% in all audiovisual materials circulation will indicate that audiovisual materials are meeting the needs of Kentucky public libraries and their users for educational media.
- ✓ Kentucky libraries will show a yearly 5% increase in interlibrary loan activity as they have access to more materials to satisfy client informational needs indicating that customers are discovering and requesting materials previously unknown to them.
- ✓ At least 10 libraries will receive on-site technical support and consultation which will increase availability and accessibility of information.
- ✓ At least 4 libraries will utilize technology to widen their services to underserved and challenged populations and will submit outcomes from their specific projects.
- ✓ 90% of questions received by the Reference/Research staff at the State library will be answered because staff will have better tools and technologies at their disposal to help them perform the work required to accomplish their duties to serve their customers.
- ✓ At least 50% of KDLA customers asked will indicate that their phone calls were answered in a timely matter and provided the information they needed.

**Projects:**

1. Provide a centralized technical support unit to build and maintain the OCLC database of state holdings and to provide direct and consultative support to the library staff in the state. *Time Frame FY2003-2007*
2. Maintain an educational/professional collection of public performance videos and DVDs, audio books, and CD-ROMs to be loaned to public libraries throughout the state and for state library patrons' training needs. *Time Frame FY2003-2007*
3. Provide technological support and consultation to library personnel and trustees through a statewide project and by providing subgrants for regional or local projects. *Time Frame FY2003-2007*
4. Supply the information technology infrastructure including hardware and software for the State Library and information technology services for patrons of the state library and public libraries statewide. *Time Frame FY2003-2007*
5. Provide access to books for people with limited vision by supplying collections of books in large-type format to be rotated among public libraries. *Time Frame FY2003-2007*

6. Provide access to information resources in all formats and equipment needed by staff to allow quality reference/research service through the state library for libraries statewide. *Time Frame FY2003-2007*
7. Provide the KDLA telecommunication services necessary for technical assistance and information delivery. *Time Frame FY2003-2007*

**Evaluation:**

Statistics generated from the Endeavor/Voyager and the audiovisual computer systems will be used to ascertain circulation of materials. Comments made by public library staff on forms returned with materials will help to determine the need for various materials. Interviews and comments from class evaluations will help determine the value of material used in training. Statistics will be recorded and reviewed for all projects. Needs assessment and evaluation sessions will be held for at least 2 service delivery groups for the technology projects. Adjustments that need to be made in processes, services and service components will be identified annually. Subgrants will provide quarterly reports and statewide projects will do mid-year and annual reports. Reports will provide quantifiable and anecdotal information of outcomes.

**Objective 1D:** Provide access to print or non-print information and expand programs for and services to the disabled and/or people having difficulty using conventional library services.

**Key Output Targets:**

- ✓ 5,500 individual blind and physically handicapped library patrons will be served by the Kentucky Talking Book Project per year.

**Key Outcome Targets:**

- ✓ The per capita reading of the Kentucky Talking Book Library patrons reading will be 20% greater than that of the general population indicating the project is successful in making people aware of the library and its mission to serve disabled readers with material in special formats.
- ✓ By October 2006, the obsolete recording and duplicating equipment of the Kentucky Talking Book project will be replaced with digital models making information clearer and insuring nearly permanent availability to patrons.

**Projects:**

1. Operate the Kentucky Talking Book Library and two Subregional talking book libraries. *Time Frame FY2003-2005*
2. Support the transition to digital technology for the recording and distribution of materials in the Talking Book Library. *Time Frame 2004-2005*

**Evaluation:**

The staff of the talking book libraries will be working directly with the patrons served by these projects. Examples of how the library's work has had a positive upon the live of patrons will be collected, documented and reported in subgrant quarterly reports and statewide project midyear and annual reports.

**LSTA Purpose - Goal 1:** Establishing or enhancing electronic linkages among or between libraries: Linking libraries electronically with educational, social or information services; Encouraging libraries in different areas, and encouraging different types of libraries to establish consortia and share resources; Paying costs for libraries to acquire or share computer systems and telecommunications technologies.

## **NEED # 2 - AWARENESS / OUTREACH**

### **Goal # 2**

**Increase awareness of library and information services and programs to the underserved urban and rural communities to allow them to fully utilize library and information resources and support outreach and partnerships with organizations and agencies that will help further the library mission.**

**Objective 2A:** Plan and execute a statewide communication and public awareness-training program to assist and support librarians in raising awareness and marketing of their library and services and to increase the leadership role they have in the community.

#### **Key Output Targets:**

- ✓ The Kentucky Annual Report will be created and distributed to 1,400 individuals representing 35 client/partner groups.
- ✓ 4 Library Awareness Leadership Training Institutes will be monitored.
- ✓ At least 3 new categories of comparative information will be added to the KDLA Web site.

#### **Key Outcome Targets:**

- ✓ Anecdotal information collected from library directors will indicate that Kentucky residents have increased their knowledge base and their knowledge of library services in at least 10 counties.
- ✓ Library directors will report at least a 5% increase in the number of people using the library.
- ✓ Web site usage will increase and show that 35% of surveyed users indicate successful use of the sites.
- ✓ Institute participants will have at least 3 program ideas or projects to use locally and will be able to report the results from their communities.

#### **Projects:**

1. Provide a consultant to plan and coordinate the statewide initiative. *Time Frame FY2003-2007*
2. Award a training subgrant to a UK Library School student to further develop the KDLA and COSLA web sites focusing on content development and interconnectivity of both sites. *Time Frame FY2003-2005*
3. Provide training and consultation to public library staff and trustees to assist them with raising awareness of the library and its services in their communities. *Time Frame FY2003-2005*

#### **Evaluation:**

Much of the evaluation of these projects will come from local library directors, trustees, and from library customer's anecdotes. These will be collected through postings on selected web sites as well as during community forums through in-depth answers to questions such as "what my library means to me." The network of graduates from the awareness institutes will keep in touch with the coordinator reporting on their successes within their local communities. Mid-year and annual reports will be submitted.

**Objective 2B:** Encourage alliances with community partners that will assist libraries in meeting the library and information needs of the community.

#### **Key Output Targets:**

- ✓ At least two subgrants per year will be awarded to support a school and public library partnership.

**Key Outcome Targets:**

- ✓ Each recipient of the school and public library partnership will report specific outcomes and benefits of the partnership based on their local project showing how communication and cooperation can lead to improved student learning.

**Projects:**

1. Award and monitor library/ school partnership subgrants *Time Frame FY2003-2007*

**Evaluation:**

All subgrant participants will develop an evaluation plan that addresses the benefits, outputs and outcomes of their specific project. Results will be reported on quarterly reports and a final report at the end of the project. The KDLA monitor will maintain a close relationship with the project directors and will also report on the project in a final report.

**Objective 2C:** Provide statewide communication on the effectiveness of library programs to provide direction for the planning and development of future library services that will meet the needs of the citizens of the State.

**Key Output Targets:**

- ✓ The Kentucky LSTA Annual Program and an in-depth Annual Report will be developed, printed and disseminated yearly.
- ✓ A consultant will be hired to work on the LSTA five-year annual report.

**Key Outcome Targets:**

- ✓ The evaluation consultant will report that information needed to prepare the five-year report is available and accessible.
- ✓ The LSTA evaluation and planning committee will have complete information available to them to help them plan for projects that will make the best use of LSTA funding.

**Projects:**

1. Prepare annual in-depth annual programs and reports for all LSTA projects and make reports available online. *Time Frame FY2003-2007*
2. Appoint an Evaluation Team to review annual reports and oversee the compilation of the Five-Year Annual report to determine the level of success in achieving the goals of the plan. *Time Frame FY2006-2007*

**Evaluation:**

Information will be gathered through the LSTA quarterly subgrant reports and through the statewide projects mid-year and annual reports.

**LSTA Purpose - Goal 2:** Encouraging libraries in different areas, and encouraging different types of libraries to establish consortia and share resources; Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.



## **NEED # 3 - CHILDREN'S AND YOUTH SERVICES**

### **Goal # 3**

**Improve the ability of libraries to meet the informational and recreational reading needs of children and young adults by promoting the planning, maintenance and expansion of programs and by providing librarians who are well educated, effective, and confident in their work to assure that Kentucky's children receive high quality public library service.**

**Objective 3A:** Promote the planning, maintenance and expansion of programs for children and young adults.

#### **Key Output Targets:**

- ✓ 95% of public libraries will sponsor summer reading programs and 75% of those will register greater numbers of participants than in 2002.
- ✓ 50% of libraries will report using State Library-produced emergent literacy /infant toddler materials for some form of targeted service or program during 2002-2003.
- ✓ Consultants will provide at least 1 training session per year for each of the twelve library regions.
- ✓ At least 50% of public school classrooms will view the summer reading promotion on Kentucky Educational Television.

#### **Key Outcome Targets:**

- ✓ 50% of librarians responding to the summer reading evaluation will report an increase in reading among children and young adults as a result of participation in reading promotional programs offered by their libraries.
- ✓ 50% of librarians will report offering a greater number of programs for all children birth through age eighteen, as well as an increase in the number of children participating and benefiting from library programming.
- ✓ 50% of public school teachers viewing the summer reading promotion will request further information from their public library.

#### **Projects:**

1. Employ two children and youth services consultants who will provide consultation and training for librarians, coordinate statewide planning and program development, provide electronic resources and maintain connections and promote partnerships with groups that will further the library mission.  
*Time Frame FY2003-2007*
2. Provide statewide promotion of the Kentucky Summer Reading Program to encourage participation and attendance by all children needing to maintain reading skills. *Time Frame FY2003-2004*

#### **Evaluation:**

A major written evaluation of the summer reading program will be received from each library system. Every training event or exhibit will be evaluated on paper by participants before they finish the training. During the last quarter of each Fiscal Year, at least one representative from each library system will be given the opportunity to re-evaluate training and support received throughout the year. Librarians giving these retrospective evaluations will be asked to make a correlation between the kinds and numbers of programs and services they have offered at their libraries since their training experiences and the program itself. Regional consultants will be asked to give informal appraisals of the impact of State Library program promotions, training and exhibits. Reporting of outcomes will be made through quarterly, mid-term and annual reports.

**Objective 3B:** Provide librarians who are well educated, effective, and confident in their work to assure that Kentucky's children receive high quality public library service.

**Key Output Targets:**

- ✓ 100% of the twelve regional groups of children and youth services librarians will have training events designed to address their specific training needs.
- ✓ At least two subgrants per year will be awarded to public libraries for projects promoting emergent literacy services for children, families and caregivers in their counties.

**Key Outcome Targets:**

- ✓ 50% of librarians will report greater confidence and expertise as a result of the training they received.
- ✓ Each subgrant recipient will be able to report results and outcomes specific to their project.

**Projects:**

1. Award and monitor competitive subgrants to libraries to develop programming for early childhood development. *Time Frame FY2003-2007*
2. Coordinate and monitor training for youth services librarians. *Time Frame FY2003-2007*

**Evaluation:**

Library consultants will conduct a survey of librarians who attended at least one regional training event. The purpose of the survey will be to discover changes in service offered and in professional confidence. A sampling of these librarians will be interviewed. Reporting of outcomes will be made through quarterly, mid-term and annual reports.

LSTA Purpose - Goal 3: Encouraging libraries in different areas, and encouraging different types of libraries to establish consortia and share resources; Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

**NEED # 4 – PROGRAMMING / TRAINING**

**Goal # 4**

**Strengthen the statewide library system by providing a competent, qualified workforce to serve the citizens of the state and by encouraging and supporting creative programming that will meet the specific needs of communities regardless of economic, educational, geographical or physical barriers.**

**Objective 4A:** Support and/or provide training opportunities for library staff, trustees and volunteers to insure a competent, qualified workforce to serve the citizens of the State.

**Key Output Targets:**

- ✓ 100% of KDLA staff will have attended five or more training events by the end of 2007.
- ✓ Public library staff and community organizations will use technology equipment for presentations or training purposes 20 times per year.
- ✓ 750 library staff members will participate in Continuing education activities yearly.

**Key Outcome Targets:**

- ✓ At least 75% of KDLA staff will indicate that they feel more comfortable, confident and better equipped to do their job and better understand workplace skills or are more proficient in the work.
- ✓ At least 50% of library directors receiving technology subgrants will report that members of community organizations and businesses have indicated better informed and skilled members and workforces as a result of training opportunities and presentations due to the use of library technology.
- ✓ 75% of continuing education participants will indicate improved skills and greater confidence in their abilities to meet the library and information needs of their patrons.

**Projects:**

1. Award competitive subgrants to public libraries to purchase equipment for training purposes to reach both library staff and community members at the local level. Time Frame FY2003-2006
2. Provide training and continuing education for KDLA staff to insure a competent, qualified workforce to serve the libraries and citizens of the State. Time Frame FY2003-2007
3. Provide a continuing education consultant to work with KDLA regional consultants in coordinating and providing training for public library staff and trustees. Time Frame FY2003-2007
4. Provide training subgrants to students pursuing a Master's Degree in library science from an ALA accredited program in exchange for a commitment to working in a Kentucky public library for a minimum of two years after completion of the program. Time Frame FY2003-2007

**Evaluation:**

Staff will indicate through their stories how they have changed as employees and how they are better equipped to do their job of providing information services to the public. Randomly selected staff will be interviewed to assess what difference these classes/training have made in their work and service to clients. Subgrant recipients will report anecdotal and statistic information gathered from their customers. Workshop attendees will report on the extent and practicality of knowledge gained at the training event through evaluation forms. Results will be reported through quarterly, mid-year and annual status reports.

**Objective 4B:** Provide consultants, specialist, support staff, materials and resources necessary for the effective planning, management, promotion, implementation and evaluation of public library programs and services.

**Key Output Targets:**

- ✓ Regional library consultants will make over 1,000 site visits yearly to advise and guide local public libraries.
- ✓ Regional library consultants will provide 75 education opportunities for local library staff and trustees yearly.
- ✓ Every regional consultant will be provided with at least two professional journals in their field per year.

**Key Outcome Targets:**

- ✓ All public library boards will have an accurate and comprehensive evaluation of the status of their public library program at the end of the five-year plan.
- ✓ Ten libraries will begin strategic planning efforts to give their county a fully developed library services program by the end of FY2003.
- ✓ 75% of statewide consultants will indicate that regional consultants have supported public libraries in their respective regions.

- ✓ Consultants will have seen a 10% increase in the number of public library staff, directors and trustees seeking assistance indicating increased awareness of the assistance available to them.

**Projects:**

1. Provide professional consultation and assistance to each library region of the state. *Time Frame FY2003-2007*

**Evaluation:**

A mini survey will be distributed measuring attitudes before and after receiving information as a result of these projects. The project monitor will contact Regional Consultants through personal interviews and/or written evaluations to gather anecdotal information about the benefits of shared resources and to collect statistical and anecdotal feedback received from library directors and trustees concerning the assistance received from these projects.

LSTA Purpose - Goal 4: Encouraging libraries in different areas, and encouraging different types of libraries to establish consortia and share resources; Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

**Objective 4C:** Provide library and information services and programming that meet the specific needs of all citizens of the State regardless of economic, educational, geographical or physical barriers.

**Key Output Targets:**

- ✓ At least 2 subgrants will be awarded yearly to libraries for library programming that will improve the quality of life for the elderly, families and children, immigrant families, the disabled, minority groups and/or others with specific needs.

**Key Outcome Targets:**

- ✓ Each library receiving a programming subgrant will be able to report outcomes and changes for customers based on their specific program.
- ✓ 5% of librarians will report offering a greater number of multigenerational and outreach programs, as well as an increase in the number of citizens participating and benefiting from library programming.

**Projects:**

1. Award and monitor competitive subgrants to public libraries to enhance, expand and provide programming that will meet the specific needs of their community. *Time Frame FY2003-2007*

**Evaluation:**

Each library receiving a subgrant will develop an evaluation plan, approved by KDLA, to report outputs and outcomes of their specific programs yearly. Results will be reported on quarterly report forms which contain questions to guide them in reporting relevant information. KDLA monitors will be assigned to each subgrant and monitors will make a final report of all activity and outcomes.

LSTA Purpose - Goal 4: Encouraging libraries in different areas, and encouraging different types of libraries to establish consortia and share resources; Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

## **Evaluation**

The objectives of the five-year plan, including the key output and key outcomes for each objective, have been developed in such a manner that the effectiveness of the programs and projects will be evaluated annually through quarterly and annual reports. The progress or lack of progress toward meeting the objectives can be reported and a plan for remedial action will be developed if necessary. The annual evaluations will be compiled and will be a major tool in completing the five-year evaluation.

## **Five-Year Evaluation**

The final evaluation of the Five-Year Plan will be comprised of the following components.

1. An Evaluation Team will be made up of KDLA personnel and members of the State Library Advisory Council. The committee will review all evaluation documents and offer guidance and assistance in the compilation of the final evaluation.
2. Surveys, focus group and forums will be repeated according to the plans laid out in the needs assessment section of this document. Results will be presented to the Evaluation Committee. The public awareness forums will be repeated in 2005, as a primary part of KDLA's ongoing needs assessment. A comparison of results from the 2000 and 2005 forums will play a crucial role in the evaluation of the progress made in achieving the goals of this five-year plan.
3. An Evaluation Consultant will be chosen by the Committee to complete an independent evaluation of the Five-Year Plan. The Consultant will complete an overall evaluation of the progress made toward achieving the objectives focusing on the key outputs and key outcomes of each objective. The evaluation will be communicated via hard copy and electronic format for any interested party.
4. The Consultant will also complete an in-depth evaluation of two exemplary programs to be chosen by the Evaluation Committee.

### **Stakeholder Involvement**

A planning committee, with assistance from library staff and users, was established to develop the Kentucky LSTA Five-Year Plan. Their roles, responsibilities and the timeframe of their involvement is best illustrated in the following table.

<b>Stakeholder</b>	<b>Roles and Responsibilities in the Planning process</b>	<b>Timeframe for Involvement</b>
State Library Advisory Council made up of representatives from all different types of libraries and library users.	Advise the Chief Officer on the LSTA priorities, needs, plans, policies and evaluation	Committee will meet quarterly throughout the five-year plan
LSTA Planning Committee including KDLA staff and an ad hoc committee of the State Advisory Council	<ul style="list-style-type: none"><li>♦ Provide leadership for the federal library program;</li><li>♦ Assure that LSTA continues to coordinate with the overall program and priorities of the SLAA;</li><li>♦ Provide additional opportunities for library users to comment on the program and it's directions;</li><li>♦ Communicate feedback to the Advisory Council</li></ul>	<ul style="list-style-type: none"><li>♦ Regular meetings though out the planning process</li><li>♦ Periodic opportunities</li></ul>
KDLA Coordination and Support Team made up of the Commissioner and division directors (C & S), and Management Team which includes the C & S Team and branch and/or program managers	<ul style="list-style-type: none"><li>♦ Advise the SLAA in planning and evaluation activities for the LSTA program;</li><li>♦ Decision making</li></ul>	As appropriate
LSTA Coordinator and KDLA Staff	<ul style="list-style-type: none"><li>♦ Advise the SLAA in planning and evaluation activities for the LSTA program;</li><li>♦ Plan and/or evaluate specific projects or initiatives;</li><li>♦ Provide expertise; Support program and monitor activities</li></ul>	<ul style="list-style-type: none"><li>♦ On-going basis</li><li>♦ Two formal meetings per year</li></ul>
Representatives of : <ul style="list-style-type: none"><li>♦ Library and Information Users</li><li>♦ Library Community</li></ul>	Participate in statewide surveys and/or focus groups for library and LSTA activities and provide feedback	Periodically / last quarter of the five-year period

### **Communication Procedures**

Members of the Planning Committee and the State Advisory Council periodically review drafts of the five-year plan and provide feedback. After approval of the Five-Year Plan by IMLS, it will be printed in hardcopy and on the KDLA web site. Copies will be made available for any interested parties. The Policies and Procedures Manual for the use and distribution of federal funds is also available for review by any interested parties. The Annual Reports and the Five-Year Evaluation will also be published in print format and on the KDLA web site. A complete breakdown of communication procedures is provided on the following table.

<b>Message</b>	<b>Stakeholders</b>	<b>Channel</b>	<b>Timing/ Intervals</b>	<b>Feedback Needed</b>
Draft of the Five-Year Plan	Planning Committee, KDLA Staff	Print Format	During development and when completed	Review and Feedback
Final Five-Year Plan	State Advisory Council, Planning Committee, KDLA Staff, Library and Information Staff and Users, and IMLS	Published in print format, diskette and on KDLA Web site (www.kdla.net)	Available when approved by IMLS and throughout the Five-Year period	Review and Comments
Annual Program and Annual Reports	State Advisory Council, KDLA Staff, Library and Information Users, and IMLS	Published in print format, diskette, and on KDLA Web site	Annually	Awareness of activities
"Substantive" Revisions to the Plan	IMLS, State Advisory Council, and KDLA Staff	E-mail followed up with hard copy	According to the LSTA: not later than April 1 of the fiscal year preceding the fiscal year for which the amendment will be effective. Replaces or amends the Five-Year Plans	Approval of revision
Five-Year Evaluation	All types of stakeholders, including library and information users	Print and electronic formats	<ul style="list-style-type: none"><li>♦ Compliance of LSTA</li><li>♦ Publicize achievements</li></ul>	<ul style="list-style-type: none"><li>♦ How stakeholders will use the information</li><li>♦ Planning</li></ul>

### **Monitoring Procedures**

KDLA staff will monitor and track each program of the LSTA. Quarterly reports will be required of all subgrants and mid-year and annual reports will be submitted for all statewide projects. Reports will be reviewed by project monitors, division directors, the LSTA coordinator and financial services staff to determine compliance and progress. Any necessary corrective action will be taken after collaboration with staff and subgrantees. A complete breakdown of monitoring procedures is included in the following table.

<b>Elements of the Plan to be monitored</b>	<b>Participants in monitoring</b>	<b>How the Plan will be monitored</b>	<b>When/how often</b>	<b>Action or Revisions</b>
Each proposed project should follow all applicable state and federal guidelines	LSTA coordinator, Financial Services Manager, and Chief Officer	According to published policies and procedures	During the proposal review, funding decision period, and reporting periods	Accepted, denied or suggestions made for re-submission
Each proposed project will include clearly stated targets to show benefit (outcomes)	Project monitors/writers, directors, LSTA coordinator	Review	During the proposal review and funding decision period	Accepted, or suggestions made for re-submission
Implementation of goals, targets and expenditure summary	KDLA staff	Quarterly status reports, phone calls, on site visits and final report	Throughout the year, at the end of each quarter and at the end of project term	Reviewing staff will contact subgrantees or project directors to take appropriate action identified during review process
Annual report to show activities, benefits and financial expenditures	Project monitors/writers, directors, LSTA coordinator and support staff	Review and compilation of IMLS and in-house annual report	Annually	Lessons learned / Planning



### Public Library Services Forums

During the spring and summer of 2001, as part of the start-up of our new public awareness initiative, we conducted Community-Leaders Forums across the State involving about 150 mover-and-shaker Kentuckians. These were invited guests, targeted by local and regional librarians along with trustee suggestions. The same five key questions were asked of each group, to complete the first needs assessment document: and as the basis for a second document, each of the participants were asked to write an anecdotal reply to "what the public library means to me." These forums proved to be a highly useful gauge of public opinion regarding the public library, its services, its standing or importance in Kentucky communities, and the dangers or challenges the public library might face in the future.

So these questions arise, in an assessment of needs: why do Kentuckians need to be aware of libraries and their services, and further, why is it important that the library assume a leadership role in its community? The very best answers to these questions come not from the professionals, or from the national library association bureaucracy, but from the people themselves. In our community forums, from everything that was said, there emerged five areas of importance (five "truths about the library," if you will) that cry out for Kentuckians' need to be aware of the library and its central importance.

**Democracy:** public libraries provide free and open programs -- equal opportunities for everyone, representing the essence of democracy and diversity, providing services to all citizens regardless of age, socio-economic position, or race. **Life-long learning:** public libraries help patrons build a brighter future, through research materials, on-line learning, entertainment, parent-child story hours, access to computers, on-line job searches, and much more, cradle to grave. **Neighborliness:** in most Kentucky communities, the library serves as the family-friendly cultural and community center -- serving community groups and acting as an anchor in communities, welcoming people equally as they come through the door. **Technology:** at the forefront of the information age, libraries are the "how-to" resource, providing access to technology and information, with professional staff to help patrons navigate the information highway. **Pride:** libraries reflect local pride in so many ways -- integral to economic development; to genealogical research, special collections and exhibitions; to local history, culture and shared knowledge; to citizens using them as community centers that also build respect for cultural, intellectual and racial diversity.

We also conducted an internal series of forums, or informal discussion/brainstorming sessions during the fall of 2001, with all KDLA's regional consultants and statewide consultants. The topic for these meetings was "where do we go from here?" -- relative to our public awareness initiatives. These were good "pause and reflect" sessions, generating good ideas, particularly with the advantage of hearing from regional librarians all over the state who're directly in touch with local opinion and ideas.

Simply stated, it is clear to us that our library personnel, our trustees, and our libraries themselves stand in need of further, continual, public awareness assistance -- in raising awareness and marketing of the library and its services to a point where each library can positively assume its leadership role in the community. As mentioned at the beginning of this Five-Year Plan, the forums will be repeated and used for evaluation and planning.

### KDLA/KYVL (Kentucky Virtual Library) Training Survey

In June 2001, KDLA, KLN and KYVL partnered to conduct the second annual Training Needs Survey. Over 400 library staff members from all types of libraries throughout the state responded through web sites or on paper about what they wanted to learn about and how, when, and where they wanted that training. All of the data relating to technology based training was utilized in both the

successful Gates Training Grant application and in its deployment. This annual information gathering process will be repeated this summer.

#### State Library Reference/Research Services

A focus group of state agency users in 1999 told the State Library that they needed information that is on-point, value-added and easily accessed. Perceived strengths were customer and research services and knowledgeable staff. As a result of the focus group recommendations the State Library began making changes in service delivery and marketing to provide enhanced efficiency and more value to customers.

One of the goals of the recently completed State Library Services Strategic Plan is to "determine the informational needs of state employees by SLS sponsorship of several focus groups." Focus groups of state government non-users have been scheduled for April 25-26, 2002 in two different locations in the state. The focus groups will be used to gain a better understanding of the types of information state government employee's use and how they acquire information. There will be discussion of the use of the Internet, training needs, and how the State Library can meet work-related information needs.

#### Audiovisual Program Survey

An audiovisual survey was sent to 177 public libraries and their branches, and 108 responses were received by the end of October, 2001. The libraries answered questions about their DVD and CD-ROM collections and equipment owned, current use of KDLA's audiovisual services and recommendations for future audiovisual services. Fifty-four per cent of the responding libraries recommended the addition of DVD and forty-three per cent recommended the addition of CD-ROM formats to the Audiovisual Section's collection/services, and eighty-four per cent borrow videos from the collection. From the responses it is evident that public libraries want the centralized audiovisual service to continue. It is anticipated that another user survey will be conducted in the next two years to again determine needs for the program.

#### Children and Youth Services Survey

In January 2002, consultants from KDLA sent a survey entitled *Your Community's Needs for Children's and Youth Services* to Kentucky's public libraries. Librarians were asked to rank the three greatest needs for public library service to children from birth through age eighteen. The survey also asked librarians to indicate what state library support would be most beneficial in meeting these needs. The needs most often mentioned included programming for all ages and community partnerships with schools, businesses, and organizations. The survey also asked librarians to indicate what state library support would be most beneficial in meeting those needs. Training for staff was the response to this question.

At the conclusion of each workshop, conference, or other training event conducted by the state library's children's and youth services consultants, librarians are asked to complete an evaluation form that includes questions about future training needs. Consultants consider these training needs in planning events on statewide and regional levels.

#### Summer Reading Evaluation

A summer reading program evaluation is completed annually by each library system to report their reading program statistics. In this evaluation librarians are also given the opportunity to respond to questions concerning reading program themes, artwork, manuals, and online state library resources. This information is utilized in the creation of future statewide reading programs.

### Find-it! Kentucky Project Report - Government Information Locator

In 2001, KDLA planned and conducted a pilot project to construct a Government Information Locator Service (GILS) for the State of Kentucky, known as Find-It! Kentucky. This project, patterned on projects in several other states, provides more precise access to government information on the web. In working with one pilot agency and consulting several other agencies, KDLA found a great need for this project. Webmasters appreciated the webmaster training sessions that included learning about metatags, naming conventions, and subject access. Spidering of agency websites proved successful as well, and helped populated the Find-It! Kentucky searches more widely. At the end of the pilot project, participants assessed the need for an on going GILS program. KDLA concluded that an ongoing GILS program would provide easy access to state and local government information on the web. It fills a gap between the Kentucky State Government homepage, Kentucky Direct, and the needs of customers. Because of the great need to make government information more accessible and more organized, KDLA intends to institute this as an on-going program.

### Document Management Digitization System - Strategic Alliance Services

#### Document Management Digitization System - Strategic Alliance Services Request Response.

The first of these two documents was prepared by staff of the Technology Analysis and Support Branch of KDLA's Public Records Division, and issued by the Office of the Chief Information Officer, Governor's Office for Technology, in October 2001. The second, a response to the first, was prepared the SAS contractor, IDMS, Inc., of Frankfort, Kentucky, selected by KDLA to implement DMDS. Together, the documents outline the need for DMDS, furnish a framework for its implementation, and describe its place in KDLA's information services plans. DMDS will permit KDLA to respond to growing agency demand for image management services and to digitize incoming paper records in sufficient volume to limit the growth of hardcopy collections. It assessed the necessity for DMDS to convert paper to digital image, microfilm to digital image, and digital image to microfilm. It also outlines how DMDS would enable KDLA to meet an enterprise wide requirement for the ongoing archival management of electronic records of continuing value through a dedicated data archives facility. The SASR is a useful continuing resource because of the scope and detail of its description of KDLA's plans and needs.

### Archives Research Room User Survey

In October 2001 KDLA planned and began a survey of Archives Research Room customers, with each customer visiting between October 27, 2001 & December 15, 2001 asked to participate. The purpose of the written survey was manifold, with several areas of focus. The results of the survey provide KDLA with a profile of the average Research Room customer in regard to frequency and timing of visits, format of records used, and awareness and satisfaction with our genealogical reference request service for off-site customers. As a result of the survey, KDLA is better able to accommodate the needs of its customers by providing comprehensive and well-implemented service.

### Public Library Standards

The development of public library standards are an outgrowth of a Kentucky Department for Libraries and Archives (KDLA) Field Services Division planning effort which identified the 23 characteristics of a fully developed public library.

State Librarian and Commissioner instructed Field Services Division staff to review public library standards developed in other states. The purpose of this project was to determine the types and degrees of standards already established and to analyze best practices. The public library community recommended that the criteria for standards include voluntary participation, varied service levels and ease of use.

After a preliminary review of standards from 33 states, KDLA staff recommended that the following key areas be studied:

- Governance and Administration
- Personnel
- Access
- Collections
- Services and Cooperation
- Facilities
- Technology
- Marketing/Public Relations

Committees composed of library directors and staff, trustees, State Advisory Council members and KDLA library consultants were appointed to develop standards for Kentucky public libraries in these eight categories. The hard work and dedication of many individuals has resulted in this first edition of **Kentucky Public Library Standards**.

#### Library Services and Technology Act Five-Year Plan Evaluation

In February 2002, the final evaluation of the FY 1998-2002 Kentucky LSTA Program was completed. The document was required to evaluate the effectiveness of the programs and projects and the progress toward meeting the goals of the Five-Year Plan. The evaluation also contained process and program recommendations for use in the next planning period. The recommendations have been incorporated into this plan and provided invaluable insight into the management of grants that will enhance library services to the people of the state. Subsequent five year evaluations will continue to guide the LSTA program.

#### Evaluations of 2002 Regional Youth Services Training Grant

In Federal Fiscal Year 2001-02, children's and youth services librarians along with outreach librarians in each of the twelve Kentucky public library regions assessed their needs for training. After this assessment, they organized one or two training events to address these needs. Each training event was followed by a written evaluation. Librarians were asked to rate the practical value of each event from '1' for "low, I will use very little of the content to do my job" to '5' for "average, I will use about half the content in my regular work" to the highest rating of '9' for "superior, what I learned will immediately improve the way I do my job". In addition, librarians were given opportunities to write comments about additional training needed and general suggestions about improving delivery of training. In September 2002, a sampling of librarians will receive follow-up surveys that will help the State Library to determine the long-term value of training received and to update suggestions for additional training.

## **PROGRAM ASSURANCES AND CERTIFICATIONS**



## STATEMENT OF PROGRAM ASSURANCES

*All State Library Administrative Agencies receiving assistance under the Library Services and Technology Act, P.L. 104-208, as amended, must comply with the statutes and regulations cited below. To receive federal assistance, all applicants must provide this signed Statement of Program Assurances.*

The undersigned, on behalf of the State Library Administrative Agency (SLAA), agrees that the SLAA will comply with Subtitle B of the Museum and Library Services Act of 1996 -- the Library Services and Technology Act ("LSTA" or this "Act"), P.L. 104-208, as amended, and all of its provisions, including those set forth below.

(a) Pursuant to 20 U.S.C. Section 9122(6), the SLAA provides assurance that it has the fiscal and legal authority and capability to administer all aspects of the LSTA, that it will establish the State's policies, priorities, criteria, and procedures necessary to the implementation of all programs under this Act (including the development of a State Plan), and that it will submit copies of these materials for approval as required by regulations promulgated by the Director of the Institute of Museum and Library Services (IMLS).

(b) Pursuant to 20 U.S.C. Section 9134(b)(6), the SLAA provides assurance that it will comply with 20 U.S.C. Section 9134(f), which sets out standards relating to Internet Safety for certain libraries that do not receive services at discount rates under section 254(h)(6) of the Communications Act of 1934, and for which LSTA funds are used to purchase computers used to access the Internet or to pay for direct costs associated with accessing the Internet.

(c) Pursuant to 20 U.S.C. Section 9134(b)(7), the SLAA provides assurance that it shall make reports, in such form and containing such information, as the Director may require reasonably to carry out the State Plan and to determine the extent to which funds provided under this Act have been effective in carrying out the purposes of this Act.

(d) The SLAA agrees that it will comply with all applicable IMLS regulations, including 45 C.F.R. Part 1183 -- Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Government; 45 C.F.R. Part 1180.44 -- Federal Statutes and Regulations on Nondiscrimination; 45 C.F.R. Part 1110 -- Nondiscrimination in Federally Assisted Programs; and 45 C.F.R. Part 1185 -- Government-wide Debarment and Suspension and Government-wide Requirements for Drug-Free Workplace, under the rules for the National Foundation on the Arts and the Humanities.

The SLAA further provides assurance that it will comply with all other applicable Federal statutes and regulations in effect with respect to the periods for which it receives grant funding.

These assurances are provided in connection with any and all financial assistance from the Institute of Museum and Library Services after the date this form is signed. This includes payments after such date for financial assistance approved before such date. The SLAA recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this Statement of Program Assurances. These assurances are binding on the SLAA, its successors, transferees, and assignees, and on the Authorizing Official whose signature appears below.

For additional information on this Statement of Program Assurances, contact IMLS at 1100 Pennsylvania Avenue, N.W., Washington, DC 20506.

\_\_\_\_\_  
Signature of Authorizing Official

James A. Nelson, State Librarian and Commissioner \_\_\_\_\_

Name and Title of Authorizing Official Date



**CERTIFICATIONS REGARDING DEBARMENT, SUSPENSION AND OTHER  
RESPONSIBILITY MATTERS; DRUG-FREE WORKPLACE REQUIREMENTS; LOBBYING;  
FEDERAL DEBT STATUS; AND NONDISCRIMINATION**

Signature of this form provides for compliance with the statutes and regulations cited below. The certifications shall be treated as material representations of fact upon which reliance will be placed when the Institute of Museum and Library Services determines to award Federal funds to State Library Administrative Agencies.

**1. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS**

As required by Executive Order 12549 and implemented at 45 C.F.R. Part 1185, the undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals:

- (a) are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state or local) transaction or contract under a public transaction, or in connection with a violation of Federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification;
- (d) have within a three-year period preceding this application/proposal had one or more public transactions (Federal, state or local) terminated for cause or default.

Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

**2. DRUG-FREE WORKPLACE REQUIREMENTS**

As required by the Drug-Free Workplace Act of 1988 and implemented at 45 C.F.R. Part 1185, the undersigned, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:

- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;

- (b) establishing an ongoing drug-free awareness program to inform employees about:
  - (1) the dangers of drug abuse in the workplace;
  - (2) the grantee's policy of maintaining a drug-free workplace;
  - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
- (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
  - (1) abide by the terms of the statement; and
  - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
- (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
  - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
  - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, state, or local health law or other appropriate agency;
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

The applicant either shall identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for Federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

### **3. LOBBYING**

As required by Section 1352, Title 31 of the United States Code, and implemented for persons entering into a grant or cooperative agreement over \$100,000, the applicant certifies to the best of his or her knowledge and belief that:

- (a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than appropriated Federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under



grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

#### **4.FEDERAL DEBT STATUS**

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any Federal debt.

#### **5. NONDISCRIMINATION**

As required by the Civil Rights Act of 1964, the Rehabilitation Act of 1973, the Education Amendments of 1972, and the Age Discrimination in Employment Act of 1975, as implemented at 45 C.F.R. Part 1180.44, the undersigned, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving Federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability in Federally-assisted programs;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance;
- (d) The Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in Federally-assisted programs;

The undersigned further provides assurance that it will include the language of these certifications in all subawards and that all subrecipients shall certify and disclose accordingly.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

\_\_\_\_\_  
Signature of Authorizing Official

James A. Nelson, State Librarian and Commissioner  
Name and Title of Authorizing Official

July 24, 2002  
\_\_\_\_\_  
Date

**ASSURANCES - NON-CONSTRUCTION PROGRAMS**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
8. Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

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9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §§2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE: State Librarian and Commissioner
APPLICANT ORGANIZATION Kentucky Department For Libraries and Archives		DATE SUBMITTED July 24, 2002

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## CERTIFICATION OF APPROPRIATE STATE LEGAL OFFICER

I hereby certify that \_\_\_\_\_ (Name of State Agency)  
\_\_\_\_\_, (Name of State) is the official State Agency with authority  
under State law to develop, submit, and administer or supervise the administration of the State  
Plan under the Library Services and Technology Act; that  
\_\_\_\_\_ (Name of Authorized State Agency  
Official) is the officer authorized to submit the State Plan for the named State Agency; that the  
State Treasurer or \_\_\_\_\_ (Title of Officer other  
than State Treasurer) has authority under State law to receive, hold, and disburse Federal funds  
under the State Plan; and that all provisions contained in the Plan are consistent with State law.

\_\_\_\_\_  
**(Signature of Attorney General or  
Other State Legal Officer)**

**Assistant Deputy Attorney General**  
**Title**

**June 23, 2002**  
**Date**